

# Incorporating “Unconscious Reanalysis” into an Incremental, Monotonic Parser

Patrick Sturt\*

Centre for Cognitive Science  
Edinburgh  
UK  
sturt@cogsci.ed.ac.uk

## Abstract

This paper describes the author’s implementation of a parser aimed at reproducing, in a computationally explicit system, the constraints of a particular psycholinguistic model (Gorrell in press). In Gorrell’s model, “unconscious” garden paths may be processed via the addition of structural relations to a monotone increasing set at the point of disambiguation, but there is no discussion as to *how* the parser decides which relations to add. We model this decision as a search for a node in the tree at which an explicitly defined parsing operation, *tree-lowering* may be applied. With reference to English and Japanese processing data, we show the importance of this search for empirical adequacy of the psycholinguistic model.

## 1 Conscious and Unconscious Garden Paths

Certain researchers in the psycholinguistic community (Pritchett (1992), Gorrell (in press)), have argued for a binary distinction between two distinct types of garden path sentences. *Conscious garden paths*, such as (1) below, are locally ambiguous sentences which give rise to reanalysis that is both experimentally detectable and causes a conscious sensation of difficulty or “surprise effect”. *Unconscious garden paths*, on the other hand, such as (2), cause

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reanalysis which is experimentally detectable, but which is generally not “noticed” by the speaker or hearer.

- (1) While John was eating the ice cream **melted**.
- (2) John knows the truth **hurts**.

This binary distinction has often been used to motivate a two-level architecture in the human syntactic processing system, where what we will call the “core parser” performs standard attachment, as well as being able to reanalyse in the easy cases (such as on reaching *hurts* in (2)), but where the assistance of a *higher level resolver* (to use Abney’s terminology (1987, 1989)), is required to solve the difficult cases, (such as on reaching *melted* in (1)). This “core parser” has been the subject of a number of computational implementations, including Marcus’s deterministic parser (1980), Description theory (henceforth, D-theory) (Marcus et al (1983)), and Abney’s licensing based model (1987, 1989). It has also been the subject of a number of psycholinguistic studies on a more theoretical level (Pritchett (1992), Gorrell (in press)).

The implementation described in this paper is based on the most recent model, that of (Gorrell (in press)). This model is interesting in that it does not allow the parser to employ delay tactics, such as using a lookahead buffer (Marcus (1980), Marcus et al (1983)), or waiting for the head of a phrase to appear in the input before constructing that phrase (Abney (1987, 1989), Pritchett (1992)). Instead, processing is guided by the principle of *Incremental Licensing*, which states that “the parser attempts incrementally to satisfy the principles of grammar”. For the purposes of this implementation, I have interpreted this to mean that each word must be attached into a fully-connected phrase marker as it is found in the input.<sup>1</sup> The psychological desirability

<sup>1</sup>In fact, Gorrell conjectures that, where there is in-

of such a *Full Attachment* model has been argued for, especially with regard to the processing of head-final languages, where evidence has been found of pre-head structuring (Inoue & Fodor (1991), Frazier (1987)). Such models have also been explored computationally (Milward (1995), Crocker (1991)).

## 2 D-theory and Gorrell's Model

Gorrell employs the D-theoretic device of building up a set of dominance and precedence relations<sup>2</sup> between nodes, where the set is intended to be constrained by informational monotonicity, in that once asserted to the set, no relation may be deleted or overridden. Gorrell restricts this constraint to *Primary structural relations* (i.e. dominance and precedence), while *secondary relations* (e.g. thematic and case dependencies) are not so constrained. Recall (2), repeated below:

(2) John knows the truth hurts.

At the point where *John knows the truth* has been processed, a complete clause will have been built:

(3) [<sub>S</sub> [<sub>NP<sub>1</sub></sub> John] [<sub>VP</sub> [<sub>V</sub> knows] [<sub>NP<sub>2</sub></sub> the truth]]

The description will include the information that the verb *knows* precedes NP<sub>2</sub>, and that the VP dominates NP<sub>2</sub>.

{..., *prec*(V, NP<sub>2</sub>), *dom*(VP, NP<sub>2</sub>), ...}

However, on the subsequent input of *hurts*, the structure can be reanalysed by asserting an extra clausal node (call it S<sub>2</sub>) dominating NP<sub>2</sub> (which will then become the embedded subject), but which is in turn dominated by the matrix VP. This can be achieved by adding the following structural relations to the tree description {*prec*(V, S<sub>2</sub>), *dom*(VP, S<sub>2</sub>), *dom*(S<sub>2</sub>, NP<sub>2</sub>)}

(4). [<sub>S</sub> [<sub>NP<sub>1</sub></sub> John] [<sub>VP</sub> [<sub>V</sub> knows] [<sub>S<sub>2</sub></sub> [<sub>NP<sub>2</sub></sub> the truth] [<sub>VP<sub>2</sub></sub> hurts]]]]

Since the description before the processing of the disambiguating word *hurts* is a subset of the final tree description, the monotonicity requirement is satis-

— sufficient grammatical information to postulate a structural relation between two constituents, such as in a sequence of two non-case marked NPs in an English centre-embedded construction, the parser may hold these constituents unstructured in its memory (in press, p.212). However, for the purposes of this implementation, we have taken the most constrained position. Note that, since we do not deal with such constructions, none of the arguments presented here hinge on whether or not the parser may buffer material in this way.

<sup>2</sup>The original D-theory model did not compute precedence relations, except between terminal nodes.

fied. Note in particular, that, because dominance is a transitive relation, and because of the inheritance condition on trees (a node inherits the precedence relations of its ancestors<sup>3</sup>), the two statements *dom*(VP, NP<sub>2</sub>) and *prec*(V, NP<sub>2</sub>) remain true after reanalysis.<sup>4</sup>

Note also that the model will correctly fail to reanalyse for sentence (1) above, since the reanalysis will require the retraction of the domination relation between the VP of the adverbial clause and the NP *the ice cream*.

## 3 Implementation

Although Gorrell proposes a general principle to guide initial attachment decisions (*Simplicity: No vacuous structure building*), and specifies the conditions under which “unconscious reanalysis” may occur, the model leaves unspecified the problem of how the system may be implemented. Of particular interest is the problem of how the parser decides *which* relations to add to the set at each point in time, especially at disambiguating points.

### 3.1 Lexical Representation

The basic framework on which the implementation is built is similar to Tree Adjoining Grammar (Joshi et al 1975). Each lexical category is associated with a set of structural relations, which determine its *lexical subtree*. We call this set the *subtree projection* of that lexical category. For example, the subtree projection for verbs in the English grammar is as follows, where *Lex* is a variable which will be instantiated to the actual verb found in the input.

{*dom*(S, NP), *dom*(S, VP), *dom*(VP, V),  
*dom*(V, Lex), *prec*(NP, VP)}

Lexical categories are also associated with lists of left and right attachment sites. In the above case, NP, (which will correspond to the subject of the verb), will be unified with the left attachment site. If a transitive verb is found in the input, then the parser consults the verb's argument structure and creates a new right attachment site for an NP, asserting also that this new NP is dominated by VP and preceded

<sup>3</sup>See Partee et al (1993) for a description of the conditions on trees, with which all tree descriptions must comply.

<sup>4</sup>It will be noticed that the reanalysis here involves a realignment of thematic and, on GB assumptions, case dependencies. These are examples of what Gorrell calls *secondary relations*, which are not subject to the monotonicity requirement.

by V.

### 3.2 Attachment

Simple attachment can be performed in two ways, which are defined below, where the term *current tree description* is intended to denote the set of structural relations built up to that point in processing:

Intuitively, left attachment may be thought of in terms of attaching the current tree description to the left corner of the projection of the new word, while right attachment corresponds to attaching the projection of the new word to the right corner of the current tree description. They are equivalent to Abney's *Attach-L* and *Attach* respectively.

#### DEFINITION Left Attachment:

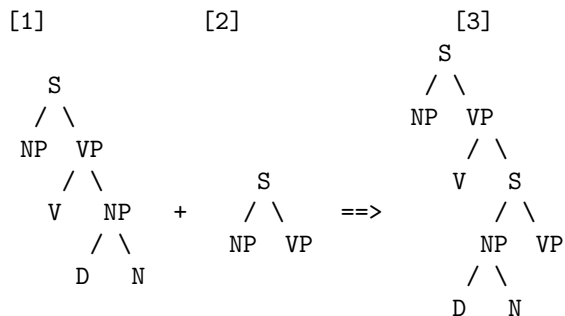
Let  $D$  be the current tree description, with root node  $R$ . Let  $S$  be the subtree projection of the new word, whose left-most attachment site,  $A$  is of identical syntactic category as  $R$ . The updated tree description is  $S \cup D$ , where  $A$  is unified with  $R$ .

#### DEFINITION Right Attachment:

Let  $D$  be the current tree description, with the first right attachment site  $A$ . Let  $S$  be the subtree projection of the new word, whose root  $R$  is of identical syntactic category as  $A$ . The updated tree description is  $S \cup D$ , where  $A$  is unified with  $R$ .

### 3.3 Tree Lowering

It should be clear that, while simple left and right attachment will suffice for attaching arguments without reanalysis, it will not allow us to derive the reanalysis required in example (2). For this, we intuitively require some means of inserting one tree description inside another. Schematically, what we require is illustrated below, where [1] is intended to represent the current tree description built up after *John knows the truth* has been parsed, and [2] is intended to represent the subtree description of the new word *hurts*.



We will call this operation “tree-lowering”. Intuitively, the operation finds a node on the current tree description which matches the left attachment site of the projection of the new word, and attaches it, while inserting the root of the new projection in its place. The result is that the node chosen is “lowered” or “subordinated”.

In order to maintain structural coherence, the new word attached via tree-lowering must be preceded by all other words previously attached into the description. We can guarantee this by requiring the lowered node to dominate the last word to be attached. We also need to ensure that, to avoid crossing branches, the lowered node does not dominate any unsaturated attachment sites (or “dangling nodes”) We therefore define *accessibility* for tree-lowering as follows:

#### DEFINITION Accessibility:

Let  $N$  be a node in the current tree description. Let  $W$  be the last word to be attached into the tree.  $N$  is accessible iff  $N$  dominates  $W$ , and  $N$  does not dominate any unsaturated attachment sites.

#### DEFINITION Tree-lowering:

Let  $D$  be the current tree description. Let  $S$  be the subtree projection of the new word. The left attachment site  $A$  of  $S$  must match a node  $N$  accessible in  $D$ . The root node  $R$  of  $S$  must be licensed by the grammar in the position occupied by  $N$ . Let  $L$  be the set of local relations in which  $N$  participates. Let  $M$  be the result of substituting all instances of  $N$  in  $L$  with  $R$ . The attachment node  $A$  is unified with  $N$ . The updated tree-description is  $D \cup S \cup M$ <sup>5</sup>

It will be noticed that tree-lowering is similar in spirit to the adjunction operation of Tree Adjoining Grammars (Joshi et al, 1975). The difference is that the foot and root nodes of an auxiliary tree in TAG, (corresponding to the “lowered” node and the node that replaces it respectively) must be of the same syntactic category, whereas, as we have seen in this example, in the model proposed here, the two nodes may be of different categories, so long as the resulting structure is licensed by the grammar.

In the case of example (2), at the point where *the truth* has been processed, the parser must find an accessible node which matches the category of the

<sup>5</sup>Note that Abney's STEAL operation (1987, 1989) is more powerful than tree-lowering, since it may change domination relations, and thus will allow sentences such as (1), though it excludes reduced relative garden paths, such as *The horse raced past the barn fell*. The original D-theory model (Marcus et al (1983)) is also more powerful, because it allows the right-most daughter of a node to be lowered under a sibling node.

left attachment site of *hurts* (i.e. an NP). The only choice is NP<sub>2</sub>:

(3) [<sub>S</sub> [<sub>NP<sub>1</sub></sub> John] [<sub>VP</sub> [<sub>V</sub> knows] [<sub>NP<sub>2</sub></sub> the truth]]

Now, all the local relations in which NP<sub>2</sub> participates are found:

{dom(VP, NP<sub>2</sub>), prec(V, NP<sub>2</sub>)}

and NP<sub>2</sub> is substituted with the root of the new projection, S<sub>2</sub> to derive two new relations:

{dom(VP, S<sub>2</sub>), prec(V, S<sub>2</sub>)}

These relations are found to be licensed, because the verb which V dominates (“knows”) may subcategorise for a clause, so these new relations are added to the set<sup>6</sup>. Now, adding the subtree projection of *hurts* to the set, and unifying its left attachment site with NP<sub>2</sub> results in the derived structure with NP<sub>2</sub> “subordinated” into the lower clause.

[<sub>S</sub> [<sub>NP<sub>1</sub></sub> John] [<sub>VP</sub> [<sub>V</sub> knows] [<sub>S<sub>2</sub></sub> [<sub>NP<sub>2</sub></sub> the truth] [<sub>VP<sub>2</sub></sub> hurts]]]]]

With the tree-lowering operation so defined, the problem of finding which relations to add to the set at a disambiguating point reduces to a search for an accessible node at which to apply this operation. However, this implies that, if more than one such node exists, the parser must be given a preference for making the requisite decision. Consider the following sentence fragment, for example:

(5) I know [<sub>NP<sub>1</sub></sub> the man who believes [<sub>NP<sub>2</sub></sub> the countess]]...

If the input subsequently continues with a verb, then we have a choice of two nodes for lowering, i.e. NP<sub>1</sub> and NP<sub>2</sub>. Though no experimental work has been done on this type of sentence, there seems to be an intuitive preference for the lower attachment site, NP<sub>2</sub>. In (6), binding constraints force lowering to be applied at NP<sub>2</sub>, while in (7), it must be applied at NP<sub>1</sub>. Of the two, most native English speakers report (6) to be easier.

(6) I know the man who believes the countess killed herself.

(7) I know the man who believes the countess killed himself.

Note also, that, on standard X-bar assumptions, the attachment of post-modifiers may be derived via lowering at an X' node. In this case, the lowered node and its replacement will be of the same syntac-

tic category (like the root and foot node of a TAG auxiliary tree). Researchers have noted a general preference for low attachment of post-modifiers (this is accounted for by the principle of *late closure* (Frazier and Rayner, 1982)). This would suggest that a reasonable search strategy for English would be to search the set of accessible node in a bottom-up direction for English.

The algorithm is constructed in such a way that lowering is only attempted in cases where simple attachment fails. This means that arguments (which are incorporated via simple attachment) will be attached preferentially to adjuncts (which are incorporated via lowering). This captures the general preference for argument over adjunct attachment, which is accounted for by the principle of *Minimal attachment* in Frazier and Rayner (1982), and by the principle of *simplicity* in Gorrell (in press).

## 4 Processing Japanese

### 4.1 Main/subordinate clause ambiguity

Japanese presents a challenge for any incremental parsing model because, typically, it is not possible to determine where an embedded clause begins. Consider the following example:

(8) John ga [<sub>Ø<sub>i</sub></sub> ronbun wo kaita] seito<sub>i</sub> wo hometa.  
John NOM essay ACC wrote student ACC praised  
“John praised the student who wrote the essay”

Up to the first verb *kaita* (“wrote”), the string is interpretable as a full clause (without a gap), meaning “John wrote an essay”, and the incremental parser builds the requisite structure. However, the appearance of the head noun *seito* (student) means that at least part of the preceding clause must be reinterpreted as a relative clause including a gap (note that there is no overt relative pronoun in Japanese). One way of looking at what is happening here is to see the subject NP *John ga* as being dissociated from the clause in which it is originally attached, and reattached into the main clause. But looking at it from a different perspective, as Gorrell has noted (in press), one can see the subject NP as *remaining* in the main clause, and the constituent bracketed in (8), (*ronbun wo kaita* (“wrote an essay”)) as being *lowered* into the relative clause. If this is possible, then we would expect examples like (8) to be unconscious garden paths, and this does indeed seem to be reflected in the intuitive data (see Mazuka and Itoh (in press)). However, if we are to allow our parser to handle such examples, we must expand the definition of tree-lowering, since, in order to build

<sup>6</sup>Note that the relations defining the original position of NP<sub>2</sub>, (i.e. dom(VP, NP<sub>2</sub>) and prec(V, NP<sub>2</sub>)) are not subtracted from the set.

a relative clause, we have to assert extra material (including the empty subject and the new S node), which is not justified solely by the lexical requirements of the disambiguating word, the head noun *seito*. This involves reconstructing all the clausal structure dominating the lowering site (including asserting empty argument positions), with reference to the verb’s case frame, and attempting to attach the result as a relative clause to the head noun.

## 4.2 Minimal Expulsion

Inoue (1991), describes a “minimal expulsion strategy”, which predicts a preference, on reanalysis, towards expelling the minimum amount of material from the clause. In our terms, this means that (assuming a binary right-branching clause structure, with the verb in its right corner) the node selected for lowering must be as high as possible. This means that the bottom-up search which we use for English will wrongly predict a *Maximal* expulsion strategy. In cases such as (8), assuming the bottom-up search, when a post-clausal noun has been reached in the input, the parser starts its search from the node immediately dominating the last word to be incorporated, (i.e. the verb of what will become the relative clause). This means that, in cases such as (8), the first preference will be to lower the verb (and therefore “expel” both subject and object), whereas the human preference, (to lower the object and verb, and therefore expel only the subject) is the parser’s second choice on the bottom-up search strategy.

Mazuka and Itoh (in press) note that examples where both subject and object must be expelled from the relative clause, as would be the first choice in a bottom-up search, often cause a conscious garden path effect. An example, adapted from Mazuka and Itoh is the following:

(9) Yamasita ga yuuzin wo [ $\emptyset$   $\emptyset_i$  houmonsita] kaisya<sub>i</sub> de mikaketa.

Yamasita NOM friend ACC visited company LOC saw

“Yamasita saw his friend at the company he visited.”

In order to capture the minimal expulsion strategy in this class of Japanese examples, therefore, search for the lowering node should be conducted top-down. We are currently investigating the consequences of changing the search strategy in this way.

## 5 The Problem of Retrospective Reanalysis

Having formulated the constraints of Gorrell’s model in terms of the *accessibility* of a node for *tree-lowering*, we can see that the model can be falsified if we can find a case where the relevant disambiguating information comes at a point in processing where the node which is required to be lowered is no longer accessible. Consider the following pair of sentences:

(10) I saw the man with the moustache.

(11) I saw the man with the telescope.

It is familiar from the psycholinguistic literature that there is a preference for attaching the *with* phrase as an instrumental argument of the verb (as in (11), on the reading where the telescope is the instrument of seeing). On the assumption that *saw* selects for a PP instrumental argument, we can derive this preference in the present model via the preference to attach as an argument as opposed to an adjunct. However, since we are constrained by incrementality, we will have to make an attachment decision for the PP as soon as the preposition *with* is encountered, and it will be attached in the preferred reading as a sister of the verb. This means that, in cases such as (10), where, on the globally acceptable reading, the PP is an adjunct of the NP *the man*, this attachment will have to be revised, and the PP retrospectively adjoined into the relevant N’ node. However, once the preposition *with* has been attached, the required N’ node will no longer be accessible, and a conscious garden path effect will be predicted, which, intuitively, does not occur. Note that there is no garden path effect even if the preposition is separated from the disambiguating head noun by a series of adjectives: (“I saw the man with the neat, quaint, old-fashioned moustache/telescope”).

The same result obtains if we abstract away from the particular implementational details of tree-lowering, and return to the abstract level at which Gorrell states his model. Once the PP has been attached as an argument of the verb, it can never be reanalysed as the adjunct of the preceding NP, because the NP will precede the PP before reanalysis, and dominate it after reanalysis, which is against the “exclusivity condition” on trees (i.e. no two nodes may stand in both a dominance and a precedence relation).<sup>7</sup>

<sup>7</sup>Note that in Marcus et al (1983), since precedence relations were not computed for non-terminals, lowering into a predecessor was possible, thus (11) would cause no processing difficulty. However, presumably, their parser would overgenerate on examples such as *the horse raced*

A similar problem concerns examples such as the following, from Gibson et al (1993):

(12) the lamps near the paintings of the house [that was damaged in the flood].

(13) the lamps near the painting of the houses [that was damaged in the flood].

(14) the lamp near the paintings of the houses [that was damaged in the flood].

in the above, Gibson et al have manipulated number agreement to force low (12), middle (13) and high (14) attachment of the bracketed relative clause. The results of their on- and off-line experiments show clearly that the low attachment (corresponding to 12) is easiest, but the middle attachment (corresponding to (13)) is most difficult. This behaviour cannot be captured whether we adopt a bottom-up or a top-down search for tree-lowering. However, even if we can incorporate the required preferences into the parser, the constraint of incrementality will force us to make the decision on encountering *that*. This means that, assuming we decide initially to attach low, but number agreement on *was* subsequently forces high attachment, as in (14), then a conscious garden path effect will be predicted, as lowering cannot derive the reanalysis. This is true on the abstract level as well, since there will be nodes in the description which precede the original low position of the relative clause, but are dominated by the subsequent high position of the relative clause. However, intuitively, of the above sentences, it is only (13) which causes the conscious garden path effect.<sup>8</sup>

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*past the barn fell.*

<sup>8</sup> Preliminary findings suggest that a similar preference rating is employed in (written) production as well as (reading) comprehension for these examples. This can be seen in Gibson et al's (1994) study. This shows a the *LOW > HIGH > MID* ordering in the attachment of the final PP in NPs of the following form found in the Brown corpus:

NP<sub>1</sub> Prep NP<sub>2</sub> Prep NP<sub>3</sub> PP

Of 105 unambiguous PP adjunct attachments, 68% were low-attached, 26% high attached and 10% mid-attached. However, the question of whether the syntactic structures people preferentially use in production should correspond to the syntactic structures people preferentially assign to strings during comprehension is still very much an open issue, though see Mitchell and Cueto (1991) for a view that the experience of previous input influences parsing decisions.

## 6 Conclusion

The current implementation shows that the success of an abstract model such as Gorrell's depends crucially on the computational details of the processing algorithm used. The search for the lowering site is of particular importance. In the final section we have seen that the combination of informational monotonicity with the assumption of strict incrementality results in a system which is too constrained to capture all the processing data. Future research will be aimed at determining, firstly, how we can enrich the information to which the search strategy is sensitive in order to provide a better match with human preferences, and secondly, which constraints should be relaxed in order to avoid the problem of undergeneration.

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